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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/768,308	01/30/2004	Richard Wayne Buskens	LUC-450/Buskens 6-1-1-2	6327
32205	7590	07/21/2010	EXAMINER	
Carmen Patti Law Group , LLC ONE N. LASALLE STREET 44TH FLOOR CHICAGO, IL 60602			WANG, RONGFA PHILIP	
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**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

**Office Action Summary**

<b>Application No.</b> 10/768,308	<b>Applicant(s)</b> BUSKENS ET AL.	
<b>Examiner</b> PHILIP WANG	<b>Art Unit</b> 2191	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1)  Responsive to communication(s) filed on 4/5/2010.
- 2a)  This action is **FINAL**.                      2b)  This action is non-final.
- 3)  Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4)  Claim(s) 1-9 and 11-22 is/are pending in the application.  
4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5)  Claim(s) \_\_\_\_\_ is/are allowed.
- 6)  Claim(s) 1-9, and 11-22 is/are rejected.
- 7)  Claim(s) \_\_\_\_\_ is/are objected to.
- 8)  Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9)  The specification is objected to by the Examiner.
- 10)  The drawing(s) filed on \_\_\_\_\_ is/are: a)  accepted or b)  objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11)  The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12)  Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a)  All    b)  Some \*    c)  None of:  
1.  Certified copies of the priority documents have been received.  
2.  Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3.  Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1)  Notice of References Cited (PTO-892)
- 2)  Notice of Draftperson's Patent Drawing Review (PTO-948)
- 3)  Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4)  Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5)  Notice of Informal Patent Application
- 6)  Other: \_\_\_\_\_.

***Detail Action***

1. This office action is in response to the amendment filed on 4/5/2010.
2. Per Applicant's request, claims 1 and 21 are amended.
3. Additional documents are included in this office action for clarification purposes and are not considered as part of the rejections.
4. Claims 1-9, and 11-22 are pending.

***Claim Rejections - 35 USC § 101***

5. Rejection of claims 1-9, 11-15, 21 and 22 have been withdrawn for the following reason. The applicant is being his own lexicographer and defining a computer-readable signal bearing medium to be only consisting of physical storage type medium, as the specification and claims were amended. The conventional meaning of a computer readable signal bearing medium would include the signal. However, considering the above mentioned amendment by the Applicant, the computer-readable signal-bearing medium has been interpreted by the Examiner to only include physical storage type medium, in light of the amendments to specification (page 10, amended on 5/8/2007) and the claims.

***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

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The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

6. Claims 1-9, 11-22 rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claims 1-9, and 11-22 recite the limitation of a legacy management system. According to the Applicant's remark, page 9, 1<sup>st</sup> paragraph, "...the legacy management system may refer to an old or outdated management system..." According to the definition provided in the remark, a legacy management system can be interpreted as an outdated management system. There is a question regarding the precise definition of what is being considered as outdated management system. Is a one-year-old manage system considered outdated or a three-months-old management system considered outdated? Is a management system installed yesterday considered outdated? Even with Applicant's another definition a legacy system – "does not work well with up-to-date systems". Similar questions can be asked of what is the precise definition of "does not work well". Does "does not work well" means does not work 70% of the time or does not work 50% of the time? It is for these reasons the examiner consider the scope of the claims indefinite.

Upon further review of the Specification, there are only two locations mentioning "legacy system" (page 1, last paragraph). There is no further definition regarding what a legacy system is at this location. The Applicant relies on generalized definition on the web (for example, [http://en.wikipedia.org/wiki/Legacy\\_system](http://en.wikipedia.org/wiki/Legacy_system), as shown in Applicant's remark.). The examiner performed similar search of the definition of "legacy system". The result is as shown as "Definitions of Legacy System on the web". Third bullet item shows a definition of "legacy

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system" as "A customer's existing system". In this office action, the examiner interprets a legacy system as an existing system. Any system that is running in an environment is considered an existing system. If the Applicant intends to interpret otherwise, it is requested to identify support in the specification for such interpretation.

### *Claim Rejections - 35 USC § 102*

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

7. Claims 1, 16, and 21 are rejected under 35 U.S.C. 102(b) as being anticipated by Baughman (US Patent No. 6,408, 399).

As per claim 1, 16 and 21,

- **a first manager component of a legacy management system that performs one or more first management operations on a software and/or hardware entity; and a second manager component that performs one or more second management operations on the software and/or hardware entity, wherein the second manager component comprise high availability services system software operating in a high availability domain; wherein the first manager component and the second manager component are configured to**

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**concurrently share management responsibilities for the software and/or hardware entity; wherein the first manager component and the second manager component are configured for individual management responsibilities.** (c4: 45-65, FIG. 3, "...a disk manager 107 and 117 resides on each computer 10 and 11 to manage file manipulation of the shared disks 12 and 13..." where 10 is the first manager, 11 is the second manager. The system of Fig. 3 is in high-availability domain. The examiner considers the first manager can be at least one day old and therefore a legacy management system of at least one day old. The examiner considers a one day old system is considered as outdated as compared to today. ).

8. Claims 1-9, 11-22 are rejected under 35 U.S.C. 102(b) as being anticipated by Anderson (USPGPub. No. 2003/0058796).

As per claim 1, 16, and 21, Anderson discloses

- **a first manager component that performs one or more first management operations on a software and/or hardware entity; and a second manager**

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**component that performs one or more second management operations on the software and/or hardware entity; wherein the first manager component and the second manager component are configured for individual management responsibilities** ([0018], for example, line 12-15, "...a traffic manager, a provisioning manager and a signaling manager perform all broadband and narrowband...and connections for all network devices." In this scenario, the first manager component can be a traffic manager/signaling manager; and the second manager component can be a provisioning manager; and the software and/or hardware entity is the network devices. See also, FIG. 2; [0032], "...The core packet network and the physical network are managed and controlled by the signaling manager 16, the provisioning manager 18 and the traffic manager 20..."; [0068], "...The provisioning manager 18 is equipped with a redundant server for high availability..." where 16, 18 and 20 have their individual management responsibilities. See Figure 2, in one embodiment, signaling manager 16 is the first management component and provisioning manager is the second management component. Signaling manager has its individual management responsibility of controlling signals and provisioning manager has its individual management responsibility of provisioning the network. ) .

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- Wherein the first manager component and the second manager component are configured to concurrently share management responsibilities for the software and/or hardware entity (in this scenario the first manager component and the second manager component function concurrently to share management responsibility).

As per claim 2,

the rejection of claim 1 is incorporated;

further Anderson discloses

- the first manager component and the second manager component are communicatively coupled ([0019], for example, "The signaling manager receives its working instructions from the traffic manage and from the provisioning manager..").

As per claim 3,

the rejection of claim 2 is incorporated;

further Anderson discloses

- the first manager component and the second manager component coordinate the one or more first and second management operations to occur in a proper sequence ([0019], for example, "The signaling manager



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receives its working instructions from the traffic manage and from the provisioning manager..."; [0033], "...decide how to configure the logical networks on top of the physical network resources...").

As per claim 4,

the rejection of claim 1 is incorporated;

further Anderson discloses

- upon detection by the first management component of an event associated with the software and/or hardware entity, the first manager component sends a notification to the second manager component; wherein upon detection by the second management component of an event associated with the software and/or hardware entity, the second manager component sends a notification to the first manager component([0021], shows monitoring of network event, [0018], [0019], show manager components communicating with each other. ).

As per claim 5,

the rejection of claim 1 is incorporated;

further Anderson discloses

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- the software and/or hardware entity comprises one or more software and/or hardware components; wherein the first manager component starts up the software and/or hardware entity and the one or more software and/or hardware components; wherein the first manager component sends a notification to the second manager component to indicate that the software and/or hardware entity and the one or more software and/or hardware components have been started ([0020], for example, "provisioning element for non-real time circuits...performs...end point connections and port provisioning..."; [0018]-[0019]).

As per claim 6,

the rejection of claim 5 is incorporated;

further Anderson discloses

- the second manager component initializes one or more of the one or more software and/or hardware components; wherein the second manager component sends a notification to the first manager component to indicate that the one or more of the one or more software and/or hardware components have been initialized ([0020], for example, "provisioning element for non-real time circuits...performs...end point connections and port provisioning..."; [0018]-[0019]).

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As per claim 7,

the rejection of claim 1 is incorporated;

further Anderson discloses

- the software and/or hardware entity comprises one or more software and/or hardware components; wherein the first and second manager components cooperate to initialize, monitor, and detect one or more failures of the software and/or hardware entity and one or more of the one or more software and/or hardware components, wherein the first and second manager components dynamically negotiate the individual management responsibilities. ([0021]).

As per claim 8,

the rejection of claim 7 is incorporated;

further Anderson discloses

- the first and second manager components cooperate to recover the software and/or hardware entity from the one or more failures ([0068], "...restored quickly in the event hardware failure...").

As per claim 9,

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the rejection of claim 1 is incorporated;

further Anderson discloses

- the first manager component sends a request to the second manager component to cause the second manager component to perform a management operation of the one or more second management operations on the software and/or hardware entity ([0019]).

As per claim 11,

the rejection of claim 1 is incorporated;

further Anderson discloses

- in combination with the software and/or hardware entity, wherein the software and/or hardware entity operates outside of the high availability domain, wherein the high availability services software comprised the one or more second management operations; wherein the software and/or hardware entity interacts with the high availability domain ([0068], line 2, "...provisioning manager...high availability..." see Figure 2, where provisioning manager employ high availability. Signaling manager 16 can be considered outside the high availability domain of provisioning manager.).

As per claim 12,

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the rejection of claim 11 is incorporated;

further Anderson discloses

- the software and/or hardware entity is connected with the high availability domain to employ one or more of the one or more second management operations of the high availability services software ([0068], line 2, "...high availability...", see Fig. 2).

As per claim 13,

the rejection of claim 12 is incorporated;

further Anderson discloses

- the software and/or hardware entity is connected with the first manager component to employ one or more of the one or more first management operations and to prevent autonomous control of the software and/or hardware entity by the high availability services software ([0068], line 2, "...high availability..."; [0055], "The signaling manger has call exclusion rules for QoS rules on connections...", see Fig, 2, provisioning manager and signaling manager work together to accomplish provisioning the network. Therefore, there is no autonomous control.).

As per claim 14,

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the rejection of claim 1 is incorporated;

Anderson discloses

- in combination with the software and/or hardware entity, wherein the first manager component, the second manager component, and the software and/or hardware entity are responsible for one or more of setup and teardown of telecommunication connections ([0060], "...creating...and tearing down connections...").

As per claim 15,

the rejection of claim 1 is incorporated;

further Anderson discloses

- the software and/or hardware entity comprises one or more first software and/or hardware components and one or more second software and/or hardware components; wherein the first manager component controls the one or more first software and/or hardware components; wherein the second manager component controls the one or more second software and/or hardware components ([0018], for example, line 12-15, "...a traffic manager, a provisioning manager and a signaling manager perform all broadband and narrowband...and connections for all network devices." In this scenario, the first manager component can be a traffic manager/signaling manager;

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and the second manager component can be a provisioning manager; and the software and/or hardware entity is the network devices.).

As per claim 17,

the rejection of claim 16 is incorporated;

further Anderson discloses

- allowing the software and/or hardware entity to accept one or more first management operations from the first manager component and one or more second management operations from the second manager component, wherein the first and second manager components cooperate to initialize, monitor, and detect failures of the software and/or hardware entity ([0018], for example, line 12-15, "...a traffic manager, a provisioning manager and a signaling manager perform all broadband and narrowband...and connections for all network devices.", [0021], "...monitoring..."; [0058], "...provisioning..."; The examiner asserts that monitoring detect failures.)

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As per claim 18,

the rejection of claim 16 is incorporated;

further Anderson disclose

- wherein the second manager component comprises high availability services software operating in a high availability domain, the method further comprising the steps of: operating the software and/or hardware entity outside of the high availability domain; and connecting the software and/or hardware entity with the high availability services software within the high availability domain ([0068], line 2, "...high availability...").

As per claim 19,

the rejection of claim 16 is incorporated;

further Anderson disclose

- sending one or more notifications between the first manager component and the second manager component to indicate occurrence of one or more events associated with the software and/or hardware entity ([0018], [0019]).

As per claim 20,

the rejection of claim 16 is incorporated;

further Anderson disclose

- wherein the software and/or hardware entity comprises one or more first software and/or hardware components, wherein the step of configuring the software and/or



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hardware entity for partial control by the first manager component and partial control by the second manager component comprises the steps of: connecting the one or more first software and/or hardware components with the first manager component to employ one or more first management operations of the first manager component; and connecting the one or more second software and/or hardware components with the second manager component to employ one or more second management operations of the second manager component and to prevent autonomous control of the software and/or hardware entity by the first manager component ([0018], for example, line 12-15, "...a traffic manager, a provisioning manager and a signaling manager perform all broadband and narrowband...and connections for all network devices."; [0068], line 2, "...high availability...").

As per claim 22,

Anderson discloses

- first manager component and/or the second manager component access a configuration file to determine the individual management responsibilities of each of the first and second manager components ([0074]).

*Response to Arguments*

In the remark,

**1) Applicant argues –**

The term legacy management system is definite.

**1) Examiner's response --**

Upon further review of the Specification, there are only two locations mentioning "legacy system" (page 1, last paragraph). There is no further definition regarding what a legacy system is at this location. The Applicant relies on generalized definition on the web (for example, [http://en.wikipedia.org/wiki/Legacy\\_system](http://en.wikipedia.org/wiki/Legacy_system), as shown in Applicant's remark.). The examiner performed similar search of the definition of "legacy system". The result is as shown as "Definitions of Legacy System on the web". Third bullet item shows a definition of "legacy system" as "A customer's existing system". In this office action, the examiner interprets a legacy system as an existing system. Any system that is running in an environment is considered an existing system. If the Applicant intends to interpret otherwise, it is requested to identify support in the specification for such interpretation.

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**2) Applicant argues –**

Baughman does not support the limitation of concurrently share management responsibility and a legacy management system.

**2) Examiner's response –**

Arguments related to lack of showing a legacy system. Baughman's system is a running system (c1: 24-27, "...two computers running in substantially in parallel..."), therefore an existing system. Per definition as explained in previous examiner's response, it is considered a legacy system.

Per Applicant argument related to "concurrently share" (see remark, page 11-12), it appears Applicant interprets "concurrently share" as accessing the same resource at the same instance of time, and only precisely at the same time. As a result, a system having a full control of a resource can not be considered as concurrently sharing. However, the meaning of concurrency in computing does not appear to take such narrow definition. See the attached NPL with explanation of what concurrent computing is. Currently sharing in computing includes interleaved access to a resource with some form of locking. As an analogy in plain English, two boys sharing an ice cream cone does not have to lick the ice cream cone precisely the same time all the time. One can have a bite first (at this moment, this boy has total control of the ice cream, or resource) and the other have a second bite next then take turns. Assuming it takes 2 minutes to finish the ice cream, it is considered two boys are currently sharing the same ice cream during the 2 minutes time period. Similarly, in computing, concurrency has the same meaning of

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sharing using some type of resource locking exclusion mechanism (for example, semaphore). For reason explained above, Baughman appears to disclose the argued limitation.

The examiner considered the claim language as presented does not reasonable distinguish the scope of the claim with the recited prior art.

**3) Applicant argues –**

Anderson fails to disclose currently sharing and legacy management system.

**3) Examiner's response –**

Related to argument that Anderson fails to disclose a legacy management system, based on reasons provided in examiner's response item 1 in this office action, the examiner interprets a legacy system as a customer's existing system. It appears that the signaling manager, traffic manager and provisioning manger are all customer's existing system and therefore legacy systems.

Related to argument that Anderson fails to disclose currently sharing, please refer to examiner's response in item 2 for interpretation of currently sharing. Fig. 2 discloses a network concurrently managed by three systems – traffic manger, signaling manger and provisioning manager. [0048], discloses how signaling manager concurrently manages the network with traffic manager. For reasons above, the examiner considers Anderson discloses the above argued limitations.

*Conclusion*

**THIS ACTION IS MADE FINAL.** See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Philip Wang whose telephone number is 571-272-5934. The examiner can normally be reached on Mon - Fri 8:00AM - 4:00PM. Any inquiry of general nature or relating to the status of this application should be directed to the TC2100 Group receptionist: 571-272-2100.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Wei Zhen can be reached on 571-272-3708. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

/Philip Wang/

Primary Examiner, Art Unit 2191